INTERNATIONAL PUBLIC MANAGEMENT ASSOCIATION for HUMAN RESOURCES

HR-CENTER

March 2008

Employee Attitude Surveys

www.ipma-hr.org

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HR Center Series

Employee Attitude Surveys

The HR Center has compiled the following policies based on IPMA-HR member feedback and facts from the field. This publication provides an overview of a subject, with concrete examples to serve as models for your own work. The HR Center Series is available free to IPMA-HR members.

As we develop resources, we rely heavily on **your** insights, policies and other materials, so others may learn from your experience. Thank you to all who have contributed; we look forward to your continued support. If you have any questions or comments, please contact:

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If you have **additional information on employee attitude surveys**, please forward the material, preferably via email, to IPMA-HR. Thanks in advance for your help.

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U.S. Office of Personnel Management
(Annual Employee Survey Guidance)

Employee Attitude Surveys

Employee attitude surveys can be useful tools providing employers with information on the success of their workplace programs, and alerting employers to any gaps in communication. They can also be a valuable resource when assessing the organization's training and development needs. The types of items included on these surveys vary from creativity, innovation and satisfaction. The results of the survey can provide an understanding of how the employee perceives the organization and the process itself helps the organization understand how the employees feel about his or her work environment.

This feedback is essential to organizational change and allows the organization to focus on the needs of the employees. It also provides management with employee feedback both positive and negative. It also can be used to motivate employees and improve overall satisfaction. Attitude surveys can be a great motivator for employers as well since it shows the employee that their opinions and their views are considered important for the success of the company.

Jim Genellie, Assistant City Manager with the City of Hopkins, MN, reported that the City's first employee survey revealed two major issues: employee orientation and employee knowledge of benefits. The City started a new employee orientation process, which provided more information to new employees as well as taking steps to make them feel welcome. The City also started providing employees with benefit statements that outlined their salary, insurance, retirement, and leave benefits.

Personnel Test Analyst, Keith Poole, with the City of Phoenix Personnel Department reported that the city established a citywide employee newsletter, called City Connection, in response to employees saying they need more communication on City activities. Also, the City Manager sends out periodic emails informing employees of budget situations; natural disasters; and security updates.

While there are many factors that can affect employee satisfaction, an attitude survey can pinpoint the main concerns of your employees. Once you understand how your employees think and feel you can begin to revise policies and procedures to better meet their needs. You'll greatly improve employee retention and motivate your employees to produce higher quality work.

Numerous research studies have shown that satisfied employees not only stay at their jobs longer, they also lead to happier, more loyal customers. Employee attitude surveys are inexpensive tools that can give you superb insight into employee motivation, performance and overall satisfaction. One short-term benefit of employee attitude surveys is that they show your employees that you care about their opinions. Long-term benefits can include improved morale, increased customer retention and more profits.

Tips to Encourage Employee Participation

By Keith Poole

In order to encourage employee participation, consider personalizing the delivery of the survey, rather than just leaving it in the employee's mail slot. We encourage departments to brainstorm ways to engage the employee. For example, one year the city's Neighborhood Services Department held a department-wide "break time" with a Halloween theme and held it on October 31 (the citywide distribution of the survey happened to coincide with the holiday). Employees brought in treats and were allowed to dress up. In order to enter the event, employees had to pick up a blank survey and watch the video produced by our public information office regarding the importance of the survey. It was not mandatory to complete the survey, but they did provide time/space to complete it. Their survey response rate went from 39% the previous survey, to 83% that year.

The Public Works Department worked with division managers to schedule field meetings at different work sites to discuss the survey. These meetings sometimes were tagged onto standing meetings, and sometimes they held a special meeting just to discuss the survey with employees. They scheduled a total of 10 meetings, about 30 minutes each. Attendance was strongly encouraged, just shy of mandatory. HR and public information staff showed the city video, distributed surveys, and provided time to complete them. It was not mandatory to complete the survey, and employees were allowed to finish the survey later and mail in directly to our vendor that compiled the results. For those that completed it at the meeting, HR staff collected the surveys, making sure the employee had sealed the envelope. Their survey response rate went from 58% the previous survey, to 69% that year.

Other recommendations from previous survey focus groups:

- Consider using an outside vendor to collect and compile the responses using pre-paid business reply envelopes; it encourages participation and reinforces the confidentiality nature of the survey.

- Consider distributing surveys at staff/employee meetings

- Try to avoid holding the survey drive during times of the year where there are other events, drives, or surveys being conducted that are competing for the employee's attention.

- Consider attaching surveys to paycheck and distribute on pay Friday.

Be sure to send follow-up reminders to employees from Department management and City Manager

- Have HR staff attend meetings and distribute/collect the survey if the employees wish to turn it in on site

- In communication to employees, be sure to highlight positive changes that have occurred as a result of feedback from previous surveys

- Use Department/Association newsletters

- Personalize the distribution as much as possible (not left in mail slot)

- Consider having your public information office develop a video with a message from the City Manager and HR Director; sends a consistent message to all employees that it is important, and that confidentiality of the responses is paramount.

Keith Poole is the personnel test analyst for the City of Phoenix Personnel Dept.

Maria Bane
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Dear Survey Participant:

The City and County of Denver's Career Service Authority is excited to bring you the **2007 CITYWIDE EMPLOYEE ATTITUDE SURVEY!**

This is your opportunity to give us information about your work environment with questions covering nine different areas:

- **Management/Leadership**
- **Supervisory Relationships**
- **Work Group/Team Effectiveness**
- **Organizational Climate**
- **PEP/PEPR's**
- **Communication**
- **Employee Development**
- **Total Compensation**
- **Diversity and Inclusion**

Please use the following definitions to complete the survey:

The City	The City's administration (i.e. Mayor Hickenlooper and his Administration).
Agency/Department	The overall organization for which you work (i.e. Public Works, Human Services, Aviation, etc.).
Division	The highest level of subdivision in an agency or department.
Management/Leadership	The senior leadership in your agency includes Manager I, Manager II, Director, Division Directors, Executives, and Appointees.
Supervisor	The person to whom you directly report and who completes your PEP/R.
Workgroup/Team	Your peers within your team, or those coworkers with whom you have the most interaction.

Please complete this survey by November 2, 2007
and interoffice mail it back to Mark Rothman at CSA

PLEASE BEGIN THE SURVEY NOW

MANAGEMENT/LEADERSHIP STYLE

How the management of your agency/department thinks strategically, achieves results, communicates with staff and other stakeholders, manages resources (including people), and practices customer service

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. Management ensures that necessary information is communicated to the right individuals in a timely manner.	❍	❍	❍	❍	❍
2. Management ensures that agency/department goals and priorities are clearly communicated.	❍	❍	❍	❍	❍
3. Management promotes a culture that continuously improves the quality of services and products delivered.	❍	❍	❍	❍	❍
4. I understand how the work I do relates to the overall goals and priorities of the agency/department.	❍	❍	❍	❍	❍
5. Management holds employees accountable for their job performance.	❍	❍	❍	❍	❍
6. Management in my agency/department expect staff to use ethical practices to achieve results.	❍	❍	❍	❍	❍

SUPERVISORY RELATIONSHIPS

The quality of relationship that you have with your supervisor

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. My supervisor fosters an atmosphere of mutual trust, respect and confidence.	❍	❍	❍	❍	❍
2. My supervisor does a good job of sharing necessary information.	❍	❍	❍	❍	❍
3. My supervisor clearly communicates his or her performance expectations to me.	❍	❍	❍	❍	❍
4. I receive routine feedback from my supervisor about my job performance.	❍	❍	❍	❍	❍
5. Discussions with my supervisor about my performance are beneficial.	❍	❍	❍	❍	❍

WORK GROUP/TEAM EFFECTIVENESS

The quality of the working relationship in your workgroup or team

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. The overall quality of the work performed in my workgroup is high.	❍	❍	❍	❍	❍
2. My workgroup is dedicated to satisfying the expectations of external and internal customers and citizens.	❍	❍	❍	❍	❍
3. My workgroup has the resources we need to do our job well.	❍	❍	❍	❍	❍
4. I am part of a workgroup that works well together.	❍	❍	❍	❍	❍
5. In my workgroup, steps are taken to deal with poor performers who cannot or will not improve.	❍	❍	❍	❍	❍

ORGANIZATIONAL CLIMATE

The way if feels to work in your agency/department

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know

1. I believe that discipline is administered fairly and consistently to all employees in my agency/department.	❍	❍	❍	❍	❍
2. Discipline in my agency/department is administered according to CSA Rules.	❍	❍	❍	❍	❍
3. As a City employee, I feel secure in speaking up about agency/department practices and/or policies that are ethically questionable.	❍	❍	❍	❍	❍
4. My co-workers know the difference between ethical and unethical behaviors, and seem to care about the difference.	❍	❍	❍	❍	❍
5. My agency/department is serious about maintaining a work environment that is free of violence and harassment.	❍	❍	❍	❍	❍
6. My agency/department is serious about maintaining a work environment that is free of drugs and alcohol.	❍	❍	❍	❍	❍
7. My agency/department creates and maintains a safe and healthy work environment by taking action which prevents injury or harm to self, others, equipment and/or property.	❍	❍	❍	❍	❍

PEP/PEPR's

The Performance Enhancement Plan (PEP) and Review (PEPR) that sets the goals and standards of performance, and ties pay to performance

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. The PEP effectively links pay to my performance.	❍	❍	❍	❍	❍
2. I have a PEP which clearly describes my performance expectations.	❍	❍	❍	❍	❍
3. My PEPR is a fair reflection of my performance.	❍	❍	❍	❍	❍
4. In my agency/department, employees are held accountable for poor performance.	❍	❍	❍	❍	❍
5. In my agency/department, employees are recognized for good performance.	❍	❍	❍	❍	❍
6. My PEP contains a clear employee development plan.	❍	❍	❍	❍	❍

COMMUNICATION

How information is communicated to you as an employee

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. Overall, I am aware of the strategic direction, vision, mission and values of the City.	❍	❍	❍	❍	❍
2. Overall, the City does a good job of communicating information in a timely manner.	❍	❍	❍	❍	❍

EMPLOYEE DEVELOPMENT

Promotional and training opportunities available that enhance or develop your current skills and promotability; and the resources available for you to do so

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. In the past year, I have had adequate training opportunities that developed my knowledge and skills to help me better perform my work.	❍	❍	❍	❍	❍
2. My agency/department makes me aware of available training and development activities and opportunities.	❍	❍	❍	❍	❍

3. City employees are provided with a variety of useful training opportunities.	❍	❍	❍	❍	❍
4. There are career growth opportunities for me within the City.	❍	❍	❍	❍	❍
5. The City provides me the tools and resources I need to achieve my career goals within the City.	❍	❍	❍	❍	❍
6. My agency/department encourages continual learning and development.	❍	❍	❍	❍	❍
7. My agency/department provides effective safety-related training.	❍	❍	❍	❍	❍

TOTAL COMPENSATION
Salary, bonus plan, benefits

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. Overall, I am satisfied with my total compensation package (base salary, merit increase, bonus, health benefits, retirement benefits, paid time off) compared with others who work in similar positions outside of the City.	❍	❍	❍	❍	❍
2. My salary is competitive with similar jobs I might find elsewhere outside of the City.	❍	❍	❍	❍	❍
3. My pay range is comparable to that of similar positions within the City.	❍	❍	❍	❍	❍
4. My agency/department frequently communicates our Bonus Plan goals and progress to me.	❍	❍	❍	❍	❍
5. The Bonus Plan goals for my agency/department are objective in how they are established and measured.	❍	❍	❍	❍	❍
6. The Bonus Plan goals for my agency/department help focus us on important common objectives.	❍	❍	❍	❍	❍
7. I feel my health care (medical, dental, vision) costs deducted from my paycheck are comparable to other employers in the Denver Metro area.	❍	❍	❍	❍	❍
8. I am satisfied with the medical plan carrier choices (Kaiser, Aetna, Denver Health).	❍	❍	❍	❍	❍
9. I am satisfied with my retirement plan options (Pension with DERP, 457 plans).	❍	❍	❍	❍	❍
10. I am satisfied with my paid leave options (sick, vacation, holiday).	❍	❍	❍	❍	❍
11. I am satisfied with the work-life balance (flexible work schedules, telecommuting, etc.) the City provides.	❍	❍	❍	❍	❍

DIVERSITY AND INCLUSION

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. The City promotes a safe environment to discuss sensitive issues.	❍	❍	❍	❍	❍
2. The City has policies and programs which promote diversity and inclusion in the workplace.	❍	❍	❍	❍	❍
3. The City fosters and role models an environment of respect.	❍	❍	❍	❍	❍
4. The City strives to enhance awareness of cultures, values, and biases.	❍	❍	❍	❍	❍
5. The City promotes knowledge and learning opportunities on diversity.	❍	❍	❍	❍	❍
6. Every individual in the City has equal access to the same resources needed to be successful.	❍	❍	❍	❍	❍

Thinking only about the past 12 months, please rank where you have experienced the most fairness and/or been treated the most fairly (with 1 being the most fair and 7 being the least fair):

	1	2	3	4	5	6	7
Career Development	❍	❍	❍	❍	❍	❍	❍
Hiring	❍	❍	❍	❍	❍	❍	❍
Pay for Performance	❍	❍	❍	❍	❍	❍	❍
PEP Standards and Measures	❍	❍	❍	❍	❍	❍	❍
Promotions	❍	❍	❍	❍	❍	❍	❍
Training	❍	❍	❍	❍	❍	❍	❍
Work Schedule	❍	❍	❍	❍	❍	❍	❍

OVERALL QUESTIONS

What motivates you to work for the City and County of Denver? (please check all that apply)

- ❑ Benefits
- ❑ Career growth opportunity
- ❑ Job stability
- ❑ Pay
- ❑ Public service opportunity
- ❑ Retirement plans
- ❑ Type and/or challenge of work
- ❑ Work/life balance
- ❑ Working relationships
- ❑ Other _____

Overall Satisfaction, Morale, Productivity, Motivation, and Commitment

	Strongly Agree	Agree	Disagree	Strongly Disagree	Don't Know
1. Overall, I am satisfied with my job.	❍	❍	❍	❍	❍
2. Overall, I feel positive about working for the City.	❍	❍	❍	❍	❍
3. Overall, I feel that I am as productive as I can be.	❍	❍	❍	❍	❍
4. Overall, I am motivated to do good work.	❍	❍	❍	❍	❍
5. Overall, I am committed to achieving the goals of the City.	❍	❍	❍	❍	❍

Please give us any other input which you feel is important:

DEMOGRAPHICS

The responses to the questions below will not be linked directly to indivual survey responses; only summary data is reported. <u>The questions are voluntary and you may leave them blank</u>, however we appreciate you taking the time to complete them.

In what agency or department do you work?

- ❍ Auditor
- ❍ Aviation
- ❍ Board of Ethics
- ❍ Career Service Authority (Agency employees only - not all career service employees)
- ❍ City Council
- ❍ Civil Service Commission
- ❍ Clerk and Recorder/Elections Division
- ❍ Community Planning and Development
- ❍ County Court
- ❍ District Attorney
- ❍ Denver Health and Hospitals
- ❍ Denver Office of Cultural Affairs
- ❍ Denver Public Library
- ❍ Denver Zoo
- ❍ Environmental Health
- ❍ Excise and License
- ❍ Finance (Controller, Payroll, Treasury, Motor Vehicle, Assessor, BMO)
- ❍ General Services
- ❍ Human Rights and Community Relations
- ❍ Human Services
- ❍ Independent Monitor
- ❍ Law
- ❍ Mayor's Office
- ❍ Mayor's Office of Education and Children
- ❍ Office of Economic Development
- ❍ Office of Emergency Management
- ❍ Office of Telecommunications
- ❍ Parks and Recreation
- ❍ Public Works
- ❍ Safety (MoS, DSD, DPD, DFD)
- ❍ Technology Services
- ❍ Other _____

In what division do you work?

_____

Are you a permanent Career Service employee?

- ❍ Yes
- ❍ No

Are you a first line supervisor or above?

- ❍ Yes
- ❍ No

Are you a part-time or full-time employee?

- ❍ Part-time
- ❍ Full-time

In what occupational group do you belong?

- ❍ Professional
- ❍ Clerical
- ❍ Doctors
- ❍ Engineering and Science
- ❍ Art, Design, Media and Entertainment
- ❍ Health Technical
- ❍ Information Technology
- ❍ Labor
- ❍ Legal
- ❍ Enforcement, Compliance and Protective Service
- ❍ Health Professional
- ❍ General Support Services
- ❍ Trades
- ❍ Fiscal

What is your race (choose only one)?

- ❍ White
- ❍ Hispanic/Latino
- ❍ African American
- ❍ American Indian
- ❍ Asian
- ❍ Other

What is your gender?

- ❍ Male
- ❍ Female

What is your age?

- ❍ Under 20 years old
- ❍ 20 - 25 years old
- ❍ 26 - 30 years old
- ❍ 31 - 35 years old
- ❍ 36 - 40 years old
- ❍ 41 - 45 years old
- ❍ 46 - 50 years old
- ❍ Over 50 years old

How many years have you worked for the City and County of Denver?

- ❍ 0 - 5 years
- ❍ 6 - 10 years
- ❍ 11 - 15 years
- ❍ 16 - 20 years
- ❍ Over 20 years

Thank You for Your Participation!

Brought to you by *Career Service Authority*

City of Phoenix

OFFICE OF THE CITY MANAGER

October 31, 2007

Dear Fellow City Employee:

Every two years, we ask City of Phoenix employees to tell us about your job, the work place and the city as an employer. Your opinions are very important to us, so we hope you will take time to complete the attached 2007 City of Phoenix Employee Survey.

Your answers will be completely anonymous. The completed surveys go directly to Behavior Research Center, an independent private polling firm. They record the data and give management only a summary of what the surveys say.

As you read the survey, please try to respond to every statement. Feel free to write anything in the comments section that will help us better understand your answers. If you have suggestions to make the city a better place to work, please include them in the comments section.

When you finish your survey, use the pre-addressed, postage-paid envelope provided. **Nov. 21** is the deadline to return your survey, and we ask that you complete it as soon as possible.

Over the years, these surveys have produced many positive changes. Among the changes are:

- Enhanced career counseling/career management
- Improvements to the performance-appraisal system
- City Connection, the employee newsletter
- The Employee Communication Board
- Safer working conditions
- Special departmental training
- E-mail messages from the City Manager
- The Diversity Task Force

If you have questions, please contact Keith Poole in Personnel at 602-495-5703.

Thank you for making the city a better place to work by participating in the survey.

Sincerely,

Frank Fairbanks
City Manager

200 West Washington Street, Phoenix, Arizona 85003 602-262-6941 FAX: 602-261-8327

Work group refers to the City employees you work with most frequently (crew, team or section).

Just ONE Response Per Statement
Please Mark Boxes Clearly - *Example* ■

		Strongly Agree	Agree	Disagree	Strongly Disagree	Unable to Rate
1.	Overall, the City of Phoenix is a good place to work	☐	☐	☐	☐	☐
2.	My job-related talents/skills are used effectively	☐	☐	☐	☐	☐
3.	My physical working conditions are reasonable for my type of work	☐	☐	☐	☐	☐
4.	My immediate supervisor tells me clearly what is expected of me	☐	☐	☐	☐	☐
5.	In my Department, the performance evaluation system (PMG) is worthwhile	☐	☐	☐	☐	☐
6.	I have been given a fair opportunity to attend City-sponsored training programs	☐	☐	☐	☐	☐
7.	The opinions of our "customers" are important to my work group	☐	☐	☐	☐	☐
8.	The City pays as well as most other employers in the area for similar work	☐	☐	☐	☐	☐
9.	The people who get promoted are generally well-qualified	☐	☐	☐	☐	☐
10.	My work area has been free of sexual harassment over the past two years	☐	☐	☐	☐	☐
11.	My immediate supervisor gives me recognition for work done well	☐	☐	☐	☐	☐
12.	I am kept informed about issues facing the City that affect me	☐	☐	☐	☐	☐
13.	I am kept informed about issues facing my Department that affect me	☐	☐	☐	☐	☐
14.	My immediate supervisor keeps me informed on issues that affect me	☐	☐	☐	☐	☐
15.	The people in my work group work hard to treat the customer well	☐	☐	☐	☐	☐
16.	I actively participate and provide input into my performance rating/ review (PMG)	☐	☐	☐	☐	☐
17.	My work area is safe for my type of job	☐	☐	☐	☐	☐
18.	I have received the training needed to do my job	☐	☐	☐	☐	☐
19.	I would recommend City employment to my interested friends and neighbors	☐	☐	☐	☐	☐
20.	The people in my work group work hard to do quality work	☐	☐	☐	☐	☐
21.	The City adequately maintains the City equipment in my work area	☐	☐	☐	☐	☐
22.	My immediate supervisor gives me regular feedback on my job performance	☐	☐	☐	☐	☐
23.	My immediate supervisor allows me to use my judgment in doing my job	☐	☐	☐	☐	☐
24.	The City's employee benefits (DCP, medical, childcare, etc.) are as good as most employers in the area	☐	☐	☐	☐	☐
25.	Overall, my immediate supervisor does a good job	☐	☐	☐	☐	☐
26.	I am provided adequate safety training	☐	☐	☐	☐	☐
27.	Safety problems in my work area are promptly corrected	☐	☐	☐	☐	☐
28.	Most of those in my work group display honesty and integrity in the workplace	☐	☐	☐	☐	☐
29.	Generally, employees throughout the City practice seamless service	☐	☐	☐	☐	☐
30.	I know what to do if I think there is a problem with substance abuse in my work area	☐	☐	☐	☐	☐
31.	My supervisor displays honesty and integrity in the workplace	☐	☐	☐	☐	☐

Just ONE Response Per Statement
Please Mark Boxes Clearly - *Example* ■

	Strongly Agree	Agree	Disagree	Strongly Disagree	Unable to Rate
32. In my work group, we look for ways to improve our services	☐	☐	☐	☐	☐
33. My co-workers are open to changes in the way we do things	☐	☐	☐	☐	☐
34. Work groups in my Department plan together and coordinate their efforts	☐	☐	☐	☐	☐
35. Work groups in different Departments plan together and coordinate their efforts	☐	☐	☐	☐	☐
36. I know where to go if I or a member of my household needs counseling services	☐	☐	☐	☐	☐
37. Ideas and suggestions for improvements are encouraged in my Department	☐	☐	☐	☐	☐
38. Departmental management encourages me to provide seamless service	☐	☐	☐	☐	☐
39. In my Department, I am encouraged to participate in citywide employee celebrations and events	☐	☐	☐	☐	☐
40. My work area is free from the affects of substance abuse (prescription and illegal drugs and alcohol)	☐	☐	☐	☐	☐
41. The messages from the City Manager on current issues are helpful	☐	☐	☐	☐	☐
42. I know where to go to get help in the City if I experience discrimination or sexual harassment on the job	☐	☐	☐	☐	☐
43. My Department treats all employees fairly regardless of race, age, religion, disability, gender, sexual orientation or ethnic background	☐	☐	☐	☐	☐
44. My supervisor and co-workers treat each other with respect	☐	☐	☐	☐	☐
45. The City values diversity and differences in the workplace	☐	☐	☐	☐	☐
46. Employees in my Department are encouraged to support diversity in working with each other and serving our customers	☐	☐	☐	☐	☐
47. Our customers are satisfied with the amount of time it takes us to do our work	☐	☐	☐	☐	☐
48. Generally, the people I work with practice the City's Vision and Values statements	☐	☐	☐	☐	☐
49. I use the seamless service directory to answer citizens' questions	☐	☐	☐	☐	☐
50. If I felt threatened by a customer or co-worker on the job, I know what I should do	☐	☐	☐	☐	☐
51. Employees in my work group treat each other with respect	☐	☐	☐	☐	☐
52. Supervisors in my Department take the time to encourage and assist employees to help them reach their career goals	☐	☐	☐	☐	☐
53. I receive the services I need from other Departments in a timely and effective manner	☐	☐	☐	☐	☐
54. My immediate supervisor is empowered to resolve issues in my work group	☐	☐	☐	☐	☐

(**OVER**)

The following optional information will help the City better understand the results. Neither the City nor Behavior Research Center will report results at a level at which individuals can be identified.

Gender: 1☐ Male 2☐ Female

Ethnicity: 1☐ White/Anglo 2☐ Black/African American 3☐ African American/White 4☐ Asian 5☐ Asian/White 6☐ Native American 7☐ Native American/White 8☐ Native American/African American 9☐ Hispanic/Latino 10☐ Other Hispanic 11☐ Hawaiian/Pacific Islander 12☐ Other

PLEASE CHECK THE BOX FOR YOUR DEPARTMENT (Check only ONE)

1☐ Aviation - F&S
2☐ Aviation - TServices
3☐ Aviation - Ops
4☐ Aviation - Admin (T3)/GA
5☐ Budget & Research
6☐ City Auditor
7☐ City Clerk - Management Services
8☐ City Clerk - Office Systems
9☐ City Clerk - Records Management
10☐ City Clerk - Elections
11☐ City Manager's Office/Deputy City Manager's Office
12☐ Community & Economic Dev
13☐ Council Staff
14☐ Development Services
15☐ DDO
16☐ EAS
17☐ EOD
18☐ Finance - Accounts
19☐ Finance - Admin, Banking and Cashiering & Collections
20☐ Finance - Purchasing, Risk Mgt, Central Stores & Surplus Prop
21☐ Finance - Real Estate
22☐ Finance - Util. Accounting & Tax
23☐ Fire
24☐ Housing
25☐ HSD - Mgt. Services
26☐ HSD - Community Services
27☐ HSD - Education
28☐ HSD - Workforce Connection
29☐ HSD - Senior Services
30☐ ITD - Enterprise Application Services
31☐ ITD - Enterprise Infrastructure Services
32☐ ITD - Enterprise Operations Services
33☐ Law - Criminal
34☐ Law - Civil
35☐ Library - Burton Barr
36☐ Library Admin & Technical Services
37☐ Library Extension Services
38☐ Mayor's Staff
39☐ Municipal Court
40☐ Neighborhood Services
41☐ Parks & Rec - Administrative Main Office, MSD, Development & Planning, Personnel, Director's Office
42☐ Parks & Rec – NW, NE, South, Central
43☐ Parks & Rec – Natural Resources, Community Outreach, Sports & Turf, Spec Maint. & Aquatics
44☐ Personnel
45☐ Phoenix Convention Center
46☐ Planning
47☐ Police
48☐ Public Defender's Office
49☐ Public Information
50☐ Public Transit
51☐ Public Works - Admin Serv/ Director's Office/Special Proj.
52☐ Public Works – Downtown Facilities
53☐ Public Works - Equipment Management
54☐ Public Works - Metro Facilities & Energy Management
55☐ Public Works - Solid Waste Disposal Management/Landfill Compliance
56☐ Public Works - Solid Waste Field Services
57☐ Public Works – Solid Waste Contracts & Education
58☐ Street Transportation - Administrative Service/Director's Office
59☐ Street Transportation - Design & Construction Management
60☐ Street Transportation - Planning, Design & Programming
61☐ Street Transportation - Street Maintenance
62☐ Street Transportation - Traffic Operations
63☐ Water Services - Customer Services
64☐ Water Services -Engineering
65☐ Water Services - Labs/Pollution Control
66☐ Water Services - Mgmt/Administrative Services/Director's Office
67☐ Water Services - Other
68☐ Water Services - Specialized Services
69☐ Water Services - Wastewater Collections
70☐ Water Services - Wastewater Treatment
71☐ Water Services - Water Distribution
72☐ Water Services - Water Production

Please code your employee group (ask your supervisor if you are not sure which group):

1☐ Middle Management or Executive
2☐ Supervisory or Professional
3☐ Police Supervisory
4☐ Police Unit
5☐ Fire Unit
6☐ Office and Clerical (both Confidential and Unit 3)
7☐ Field Unit 1 (Laborers International)
8☐ Field Unit 2 (AFSCME Local 2384)

Please indicate your employment status:

1☐ Regular full-time 2☐ Temporary 3☐ Job-share 4☐ Part time

Additional Comments:

_____

_____

_____

City of Hopkins

Employee Survey

December 2007

Please rate each statement using this scale on the line to the left of each question:

7	***6***	***5***	***4***	***3***	***2***	***1***
Strongly Agree	***Agree***	***Slightly Agree***	***Neither agree or disagree***	***Slightly Disagree***	***Disagree***	***Strongly Disagree***

******The "City's management" refers to the City Manager & Department Directors as a group.*

**"My department's management" refers to your Department Director and your supervisor.*

** "Supervisor" refers to the person who completes your evaluations.*

Relationship with Management

1. _____ There is good communication between my department's management and employees.
2. _____ My department's management is interested in my suggestions for making the City more effective, even if they are contrary to existing policies and opinions.
3. _____ My department's management shows a great deal of respect for my skills and abilities.
4. _____ My supervisor gives me the necessary information and direction I need to do my job effectively.
5. _____ My supervisor gives me almost no say in how and when my work is done.

Comments

_____

_____

Coordination of Departments

6. _____ I feel that my department works effectively with other departments.
7. _____ My department's management encourages me to cooperate and communicate with other departments.
8. _____ The City's management attempts to promote a team environment within and among departments.
9. _____ I feel that I have my Supervisor's support if I choose to serve on a City committee.

Comments

_____

_____

_____

Please rate each statement using this scale on the line to the left of each question:

7	*6*	*5*	*4*	*3*	*2*	*1*
Strongly Agree	***Agree***	***Slightly Agree***	***Neither agree or disagree***	***Slightly Disagree***	***Disagree***	***Strongly Disagree***

Ownership of/Pride in Work

10. _____ I feel my work has a substantial impact on the level of services provided by the City.
11. _____ I believe most employees are interested in improving city services and increasing productivity.
12. _____ The City has a reputation for providing high quality services and excellent customer service.
13. _____ I am proud to work for the City of Hopkins.

Comments

Performance Appraisal

14. _____ The current performance evaluation system is an effective way to measure my performance.
15. _____ Outside my annual performance evaluation, my supervisor gives me valuable feedback about the work I do.
16. _____ My supervisor documents my performance, whether positive or negative, and shares the information with me in a timely manner.
17. _____ I believe my supervisor understands the steps involved in conducting a fair evaluation.

Comments

Understanding of City Policies and Purpose

18. _____ I understand the City's mission and goals.
19. _____ I understand all work rules and procedures (ex. Leave policies, purchasing supplies, drug testing, etc.)

Comments

Please rate each statement using this scale on the line to the left of each question:

7	*6*	*5*	*4*	*3*	*2*	*1*
Strongly Agree	*Agree*	*Slightly Agree*	*Neither agree or disagree*	*Slightly Disagree*	*Disagree*	*Strongly Disagree*

Freedom to do Work/Quality of Work Environment

20. _____ I have been provided with the workspace, equipment and tools I need to perform at my best.
21. _____ Safety hazards are taken seriously and corrected or eliminated quickly in my department.
22. _____ Priorities that affect my work are constantly changing.
23. _____ I have been provided with the training I need to perform at my best.
24. _____ Employees are provided with appropriate orientation when they are hired or begin a new job.
25. _____ The City shows a strong interest in my professional growth and development.
26. _____ The City entrusts its employees with enough authority to respond effectively to the needs of Hopkins' residents.
27. _____ Overall, this is a good place to work.

Comments

_____

_____

_____

Pay and Benefits (if these statements do not apply to you please leave the line blank)

28. _____ I know what all of my benefits are.
29. _____ I understand my health insurance program.
30. _____ I believe benefits at the City are comparable to positions in other municipalities.

Comments

_____

_____

_____

Please rate each statement using this scale on the line to the left of each question:

7	*6*	*5*	*4*	*3*	*2*	*1*
Strongly Agree	***Agree***	***Slightly Agree***	***Neither agree or disagree***	***Slightly Disagree***	***Disagree***	***Strongly Disagree***

Perception of Job

31. _____ If I could find a job with similar compensation from another organization, I would accept that new position.
32. _____ I feel that my job is not very important in the broader scheme of things.
33. _____ I think that employee events, such as the picnic and the employee luncheon, are important and help improve employee morale.
34. _____ Most of the things I do on this job seem useless or trivial.
35. _____ I feel a great sense of personal satisfaction when I do this job well.

Comments

_____

_____

If you started with the City since January 1, 2007 please answer the following question:

36. _____ The new employee orientation process gave me the information that I needed to understand the City, my job, and my benefits.

Comments

_____

Where has the City made the most progress in employee relations during the last year?

_____

_____

What employee issue do you think the City should concentrate on during the next two years?

_____

_____

_____

Please identify your department. (Individual surveys are not shared with supervisors or department heads. Department heads receive a summary of the responses for their department.)

Administration/Finance _____
Community Services _____
Housing, Planning & Economic Development _____
Police _____
Public Works _____

Thank you for your participation.

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Section 1128 of the National Defense Authorization Act for Fiscal Year 2004 (Public Law 108-136, November 24, 2003) requires each Federal agency to conduct an annual survey of its employees. Agencies are required to conduct an annual employee survey by December 31 of each year. They are also required to post the results on their public web site and submit the results to the Office of Personnel Management no later than 120 days after the conclusion of the survey. There are 40 prescribed content questions and 5 demographic questions that must be included in the survey. Agencies may include additional questions if they wish.

Annual Employee Survey Guidance

U.S. Office of Personnel Management November 2006

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Annual Employee Survey Guidance

INTRODUCTION

This guidance provides information to agencies on conducting and reporting on the Annual Employee Survey (AES) as required under subpart C, Employee Surveys, of 5 CFR part 250, Personnel Management in Agencies. It specifies which agencies are covered by the regulation and explains, in more detail, survey design, sampling, administration, and the reporting procedures agencies shall follow to meet the annual survey requirement.

Background

In the National Defense Authorization Act for Fiscal Year 2004 (Public Law 108-136, November 24, 2003, 117 STAT. 1641), Congress established a requirement for agencies to conduct an annual survey of their employees to assess employee satisfaction as well as leadership and management practices that contribute to agency performance.

Specifically, section 1128 of the National Defense Authorization Act for Fiscal Year 2004 (Act) requires each agency to conduct an annual survey of its employees "to assess --

1. leadership and management practices that contribute to agency performance; and
2. employee satisfaction with --
    A. leadership policies and practices;
    B. work environment;
    C. rewards and recognition for professional accomplishment and personal contributions to achieving organizational mission;
    D. opportunity for professional development and growth; and
    E. opportunity to contribute to achieving organizational mission."

As required by the Act, the Office of Personnel Management (OPM) issued final regulations implementing mandatory employee surveys on Thursday, August 24, 2006, as subpart C, Employee Surveys, of 5 CFR part 250, Personnel Management in Agencies. The final regulations, which are effective as of January 1, 2007, prescribe survey questions that must appear on each agency's employee survey. These items constitute the Annual Employee Survey, which agencies must conduct and report annually.

Related Human Capital Management Regulations and Metrics

The Human Capital Assessment and Accountability Framework (HCAAF) provides standards for success agencies use to measure their progress and achievements in managing their workforces. Establishment of the HCAAF and its related standards and metrics fulfills OPM's mandate under the Chief Human Capital Officers Act of 2002 (CHCO Act), as codified in 5 U.S.C. 1103(c), to "design a set of systems, including appropriate metrics, for assessing the management of human capital by Federal agencies." The AES provides one source of information for evaluating success in three of the delivery systems incorporated in the HCAAF:

Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management.

For more information on these systems and metrics, refer to OPM's Website at:

http://www.opm.gov/hcaaf_resource_center/assets/hcaaf_ssm.pdf

Relationship to the Federal Human Capital Survey

In years when OPM conducts the Federal Human Capital Survey (FHCS), which will always contain the AES questions prescribed in subpart C of 5 CFR part 250, it is anticipated agencies will choose to use the FHCS, to the extent possible, to comply with the requirement to administer a survey for that calendar year. OPM ultimately expects to administer the FHCS in the fall of even-numbered years and to offer services, on a reimbursable basis, to support agencies surveying their employees with the subpart C questions in odd-numbered years. It is suggested agencies administer the required AES questions in the fall of those odd-numbered years to align with FHCS administration.

Agencies that do not participate in the FHCS are still required to conduct and report on the AES.

Agencies Covered by the Annual Employee Survey Regulation

By law, each executive agency, as defined by 5 U.S.C. 105, must conduct an annual survey of its employees containing each question prescribed by OPM in regulation. All executive branch agencies are subject to the AES requirement, irrespective of size or mission. Questions about this coverage requirement should be addressed by the agency's General Counsel.

Prescribed Definitions and Items

OPM conducted a series of analyses and reviews to identify items that meet the intent of the law. The assessment requirements of the law are restated below, along with the item numbers of the AES questions that meet each requirement.

AES Assessment Requirements	AES Item Numbers
(1) leadership and management practices that contribute to agency performance; and	6, 7, 8, 16, 17, 23, 27, 30, 31
(2) employee satisfaction with;	39
(A) leadership policies and practices;	5, 24, 25, 26, 29, 33, 34, 37
(B) work environment;	1, 11, 28, 32
(C) rewards and recognition for professional accomplishment and personal contributions to achieving organizational mission;	15, 18, 19, 20, 21, 36, 40
(D) opportunity for professional development and growth; and	2, 12, 14, 22, 35, 38
(E) opportunity to contribute to achieving organizational mission.	3, 4, 9, 10, 13

In addition to prescribed items above, the regulation included five demographic items and a set of key terms and definitions agencies are to include on their annual surveys. The definitions of the terms are consistent with their use in OPM's FHCS. They are included to provide a common frame of reference as employees answer the survey items and to facilitate comparisons across agencies, as called for by the Act. The demographic items are included to examine and report on the extent to which respondents are representative of the agency population surveyed, which also is necessary to facilitate comparisons across agencies. In addition to the prescribed set of demographic items, agencies may ask other demographic questions, such as length of service with the agency or overall time in Federal service.

The prescribed definitions and 45 AES items and response choices are listed in the following tables:

Key Terms	Definitions
Agency	*[Enter the name of your executive agency, as defined in 5 U.S.C. 105.]*
Executives	Members of the Senior Executive Service or equivalent.
Leaders	An agency's management team. This includes anyone with supervisory or managerial duties.
Managers	Those individuals in management positions who typically supervise one or more supervisors.
Organization	An agency, office, or division.
Supervisors	First-line supervisors who do not supervise other supervisors; typically those who are responsible for employees' performance appraisals and approval of their leave.
Team Leaders	Those who provide employees with day-to-day guidance in work projects, but do not have supervisory responsibilities or conduct performance appraisals.
Work Unit	An immediate work unit headed by an immediate supervisor.

Employee Survey Questions	Response Choices
Personal Work Experiences	
(1) The people I work with cooperate to get the job done.	Strongly Agree Agree Neither Agree Nor Disagree Disagree Strongly Disagree
(2) I am given a real opportunity to improve my skills in my organization.	
(3) My work gives me a feeling of personal accomplishment.	
(4) I like the kind of work I do.	
(5) I have trust and confidence in my supervisor.	
(6) Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	Very Good Good Fair Poor Very Poor
Recruitment, Development, & Retention	
(7) The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.	Strongly Agree Agree Neither Agree Nor Disagree Disagree Strongly Disagree Do Not Know
(8) My work unit is able to recruit people with the right skills.	
(9) I know how my work relates to the agency's goals and priorities.	
(10) The work I do is important.	
(11) Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	
(12) Supervisors/team leaders in my work unit support employee development.	
(13) My talents are used well in the workplace.	
(14) My training needs are assessed.	

Employee Survey Questions	Response Choices
Performance Culture	
(15) Promotions in my work unit are based on merit.	Strongly Agree Agree Neither Agree Nor Disagree Disagree Strongly Disagree Do Not Know
(16) In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	
(17) Creativity and innovation are rewarded.	
(18) In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (e.g., Fully Successful, Outstanding).	Strongly Agree Agree Neither Agree Nor Disagree Disagree Strongly Disagree No Basis to Judge*
(19) In my work unit, differences in performance are recognized in a meaningful way.	Strongly Agree Agree Neither Agree Nor Disagree Disagree Strongly Disagree Do Not Know
(20) Pay raises depend on how well employees perform their jobs.	
(21) My performance appraisal is a fair reflection of my performance.	
(22) Discussions with my supervisor/team leader about my performance are worthwhile.	
(23) Managers/supervisors/team leaders work well with employees of different backgrounds.	
(24) My supervisor supports my need to balance work and family issues.	
Leadership	
(25) I have a high level of respect for my organization's senior leaders.	Strongly Agree Agree Neither Agree Nor Disagree Disagree Strongly Disagree Do Not Know
(26) In my organization, leaders generate high levels of motivation and commitment in the workforce.	
(27) Managers review and evaluate the organization's progress toward meeting its goals and objectives.	
(28) Employees are protected from health and safety hazards on the job.	
(29) Employees have a feeling of personal empowerment with respect to work processes.	
(30) My workload is reasonable.	
(31) Managers communicate the goals and priorities of the organization.	
(32) My organization has prepared employees for potential security threats.	

* Note: This is the only item on the AES that has the "No Basis to Judge" response option.

Employee Survey Questions	Response Choices
Job Satisfaction	
(33) How satisfied are you with the information you receive from management on what's going on in your organization?	Very Satisfied Satisfied Neither Satisfied Nor Dissatisfied Dissatisfied Very Dissatisfied
(34) How satisfied are you with your involvement in decisions that affect your work?	
(35) How satisfied are you with your opportunity to get a better job in your organization?	
(36) How satisfied are you with the recognition you receive for doing a good job?	
(37) How satisfied are you with the policies and practices of your senior leaders?	
(38) How satisfied are you with the training you receive for your present job?	
(39) Considering everything, how satisfied are you with your job?	
(40) Considering everything, how satisfied are you with your pay?	

Demographics (for agencies with 800 or more employees) Agencies with 800 or more employees are required to ask the demographic items. Agencies with fewer than 800 employees may – but are not required to – ask the demographic items. This safeguard should foster a sense of confidentiality.	
(41) What is your supervisory status?	a. Non-Supervisor: You do not supervise other employees. b. Team Leader: You are not an official supervisor; you provide employees with day-to-day guidance in work projects, but do not have supervisory responsibilities or conduct performance appraisals. c. Supervisor: You are responsible for employees' performance appraisals and approval of their leave, but you do not supervise other supervisors. d. Manager: You are in a management position and supervise one or more supervisors. e. Executive: Member of the Senior Executive Service or equivalent.
(42) Are you:	a. Male b. Female
(43) Are you Hispanic or Latino?	a. Yes b. No
(44) Please select the racial category or categories with which you most closely identify (Please select one or more):	a. White b. Black or African American c. Native Hawaiian or Other Pacific Islander d. Asian e. American Indian or Alaska Native
(45) What is your agency subcomponent?	*[An agency-provided list of major divisions, bureaus, or other components one level below the agency/department.]*

Agency-Specific Items

Section 1128(a) of the Act allows an agency to include survey questions unique to the agency. Therefore, each agency may include survey questions unique to the agency in addition to the AES items OPM prescribes in regulation.

SURVEY PLANNING

If you are not an experienced survey researcher and your agency does not have the in-house capability, OPM recommends you seek assistance (e.g., hire a contractor) to conduct, analyze, and produce reports for your survey. If an agency conducts the survey in house, precautions should be taken to ensure employee confidentiality (e.g., removing survey responses from identifying information like name and SSN, only reporting information for groups larger than 10). To assist agencies that do not have the in-house expertise to conduct the AES, OPM is offering agencies the option to share the cost to minimize the impact on any one agency, in 2007. For a small reimbursable fee, OPM will administer the required items and provide the results for the overall agency (i.e., no data breakouts by agency subcomponent or other demographic group). For more information on this service, contact OPM's Assessment Services Branch on (202) 606-2276.

Selecting the Sample

Your agency sample will depend on your target population, your expected response rate, and how you want to use the results. Agencies will need to:

1. Determine the Target Population. Determine the employee population from which you will select or "draw" your sample. As an example, the target population for the 2004 and 2006 FHCS was full-time, permanent employees included in OPM's Central Personnel Data File. You may use the same target population or elect to include other employees as well (e.g., part-time employees, temporary employees).

NOTE: If you choose to use your FHCS results to meet AES reporting requirements, you will want to consider the target population parameters OPM uses for the FHCS in determining your target population in years OPM does not conduct the FHCS. One option is to use the same parameters as the FHCS, and only survey and report on full-time, permanent employees annually. Alternatively, you can choose to report on a broader target population (e.g., including full-time and part-time permanent employees). If you choose the second option, you should observe the differences when comparing results across years. When reporting your AES results, you may want to consider supplementing your FHCS results, in the years OPM administers the FHCS, with results you obtain by surveying other employees of interest to your agency (e.g., part-time employees, non-permanent employees). Agencies can compare the survey results to previous FHCS results by doing tabulations of similar populations. Or just note the differences in the sample when discussing the results for the different years.

Because the law requires all executive agencies to survey their employees, it is the agency's responsibility to ensure all major subcomponents are represented in their results. The law does not exclude different segments of agencies even if they are not reported to OPM's Central Personnel Data File (e.g., intelligence employees).

2. Construct the Sample Frame. This is a list of individuals from which you will select your sample based on the target population parameters identified in #1 above (e.g., full-time, part-time, permanent, temporary).

3. Determine the Size of the Sample. Agencies may either conduct a census (i.e., survey all employees in the target population) or select a sample of employees from the target population to survey. At a minimum, the sample should be large enough to produce 400 completed surveys to ensure reports accurately reflect the target population. The typical response rate for the FHCS has been approximately 50 percent. Based on these findings, OPM recommends the selected sample include at least 800 employees to obtain 400 completed surveys. Smaller agencies (i.e., smaller than 800 employees) will need to survey all of their employees to meet this requirement. If you have evidence from past surveys in your agency that your response rate is typically higher or lower than 50 percent, you should adjust your sample size accordingly.

In addition, agencies should consider the number and size of the subgroups for reporting and statistical analyses. To meet the requirements of the AES regulation at subpart C of 5 CFR part 250, agencies only need to report AES results for the agency/department as a whole (e.g., Department of the Interior, Office of Personnel Management). It should be noted, though, for large agencies, reporting at the department level masks the meaningful results at the subcomponent level. It is recommended agencies evaluate results and focus action planning efforts at the subcomponent level, as well.

If agencies sample at the subcomponent level, they only need to report the overall agency results to OPM and on their Websites. However, as indicated in the “Survey Reporting” section below, an agency will need to report information on the number of people surveyed in the various subcomponents to demonstrate representativeness.

OPM recommends a sample size of at least 30 in each group to be compared. This should allow for standard statistical tests for differences. Testing can be done for smaller sample sizes but this requires the use of small sample methods such as the exact binomial distribution. In any case, agencies should consult a statistician to assist with the analysis of the data.

Where feasible, a larger sample is always better. Whenever a survey is administered to a sample rather than the entire target population, sampling error will occur. Sampling error is the difference between the true population value and the population value estimated from the sample. When one interprets sample data, there is a chance wrong conclusions will be drawn because of sampling error. Surveys are also subject to nonsampling error, including nonresponse error, measurement error, coverage error, and processing error. However, the extent of sampling error can be estimated directly from the sample itself. That estimate is often referred to as the margin of error, a statistical measure (confidence interval) that indicates the precision of a sample estimate.

For example, assume the margin of error is plus or minus 3 percent for a 95 percent level of confidence. If the percent favorable is 92 percent, a statement such as the following would be

accurate: "There is a 95 percent chance the population percent favorable is between 89 percent and 95 percent." Of course, there is still a 5 percent chance the true population value will be outside that range.

Margin of error is linked to sample size. The more surveys returned, the smaller the margin of error. The smaller the margin of error, the more confidence you can have that the results you report accurately reflect the results you would have obtained if you surveyed and received responses from the entire target population.

4. Select a Sampling Method. There are many types of sampling methods, including simple random sampling, stratified random sampling, and more complex methods. For the FHCS, OPM uses random, stratified sampling. OPM stratifies by major subcomponent (i.e., subcomponents that have 1,500 or more employees or represent 5 percent or more of the agency workforce) and supervisory status (non-supervisor, supervisor/manager, executive). Agencies may choose to use stratified random sampling. OPM advises agencies to consult statistical references or a statistician for advice on what will best meet their needs.

5. Refine the Sample. If you are sampling your agency, OPM recommends you use the following procedure:

- Randomly select employees from the target population using the sampling method of choice until you have a sample large enough to obtain at least 400 surveys (taking into consideration the expected response rate) and statistical power sufficient to identify real differences in results when they exist. The larger the sample size the greater the statistical power.

  Simple random sampling provides results that can be used to represent all employees within an agency. However, sample sizes for some relevant subgroups of the population may be too small to obtain sufficiently reliable estimates within the subgroup. Agencies should ensure their sample is representative of their population, or ensure the sample drawn can compensate for representation issues through statistical weighting. For example, when OPM conducts the FHCS, OPM uses a stratified random sample, and stratifies by supervisory status and agency subcomponent (i.e., subcomponents larger than 1500 employees or representing 5% or more of the agency). OPM recommends agencies consult with a statistician for designing and drawing their samples of employees.

Designing the Survey

Agencies have choices in the survey instrument they administer to meet the AES requirement. OPM recommends agencies present the items in the order they are listed in the regulation to minimize the potential effects order and context may have on survey results. Agencies wishing to incorporate additional items of their own should include those after the required items. However,

if an agency chooses to alter the order of required items or embed their own items among the required items, the agency must report this to OPM and provide a copy of their instrument highlighting the differences. Results from the AES items must be reported as they are presented in the regulation.

For agencies that want to develop new items of interest, the Additional References section and Appendix A of this Guidance provide information on writing good survey items. Remember, if you add questions, consider carefully how many you add. The increased burden on respondents may lead to a lower response rate—it is always a balance.

Agencies with 800 or more employees will be required to ask the demographic items. Agencies with fewer than 800 employees may but are not required to ask the demographic items. This safeguard should foster a sense of confidentiality.

Helpful Hint: OPM typically places the demographic items at the end of the survey to minimize reluctance to answer non-demographic survey items.

SURVEY ADMINISTRATION

There are two key steps to good survey administration practice: 1) communicate the purpose and importance of the survey to employees, and 2) send reminders. Barring unforeseen circumstances, if you do these two things, at a minimum, you should achieve adequate and representative survey responses.

Communicating the Survey

Each agency will need to communicate the purpose of the survey, how the survey results will be used, and the importance of participation. Varying the type of media is helpful in increasing participation (e.g., bulletin boards, email messages, staff meetings). Communicate early and often in varied formats throughout the fielding of the survey.

In a study of survey nonrespondents, OPM found people most often do not complete surveys because they are "too busy" or believe the "results will not be used to change anything." These reasons emphasize the need for senior management and agency managers to communicate the importance of the survey. In addition, messages should highlight changes that have occurred as a consequence of using previous survey results.

Finally, some employees are hesitant to participate because they feel they can be identified. Messages should clearly affirm agency managers will receive only summary results and no survey responses will be linked to individual employees.

Fielding the Survey

Once the sample is drawn and the survey is assembled, you will begin the data collection phase. The length of this phase varies depending on whether you use a mail-only survey or an online survey. Online surveys are recommended for their ease in data collection, but consider the feasibility in your agency, and make sure to coordinate with your information technology office regarding firewalls, spam filters, etc.

You will want to set an initial timeframe for fielding the survey based on your agency's past experience with surveys of this nature. A timeframe of 4 to 5 weeks is recommended, but if you administer the survey when many employees are traveling or in the field, you may want to extend the administration. OPM recommends sending an initial survey, and then following up with weekly reminders. Alternatively, you may want to shorten the length of time the survey is open, but send reminders more frequently (e.g., every 3 days).

Calculating the Response Rate

Response rates on surveys vary. If in prior surveys you typically achieved a 60 percent response rate, your sampling strategy should accommodate for that (see discussion of sample size on p. 9).

OPM recommends checking your response rate at least weekly, at the subcomponent level as well as the agency overall. Checking at the subcomponent level will help identify groups that have not responded and need additional reminders. If you are not achieving the desired response rate (and a minimum of 400 respondents for large agencies), you will want to extend the survey administration phase and continue communications about the survey. OPM's research shows a minimal increase in response rates after 4 to 5 weeks, with weekly reminders.

The response rate is the total number of completed surveys divided by the total number of employees selected and sent a survey. This "raw response rate" is shown here:

$$\frac{\text{Number of completed returned surveys}}{\text{Total number of employees selected}}$$

However, both parts of this calculation usually need to be adjusted to arrive at a truly accurate response rate. Adjustments will be based on determinations of what constitutes a "completed survey" and who is included in the final group of selected employees (the denominator).

It is good practice to track undeliverables and correct them during survey administration so you reach as many sample employees as possible. OPM has found two primary reasons for undeliverable surveys: 1) the employee separated from the agency between the time you drew the sample and the time you conducted the survey, or 2) the employee never received the survey due to an inaccurate email or mailing address. With regard to the denominator, OPM suggests subtracting employees whose surveys were returned as "undeliverable" if they are not eligible to complete the survey.

Improving Participation

OPM conducted a rigorous study of employees who did not respond to the 2004 FHCS to identify reasons and barriers to responding. OPM used this information to improve the survey design and administration of the 2006 FHCS. The findings are not specific to the FHCS, so agencies can use the findings of the nonresponse study to improve their own survey efforts as well.

OPM found the most often cited reason for not responding to the 2004 FHCS was "being too busy." The next most cited reasons for not completing the survey were:

- “the results won’t be used to change anything,”
- “the survey is not important,” and
- “the results of the survey are never shared with employees.”

Sending reminders (which will be especially important for prompting those who were “too busy” to complete the survey at first) and a carefully executed communication plan emphasizing the value of these surveys and their positive consequences can address all of these, and increase participation.

DATA ANALYSIS

Cleaning the Data

You should check for and edit data problems before any results are calculated, including:

- Out-of-range values (e.g., responses that are not between 1 and 6 for 6-point scales);
- Omission or duplication of records; and
- Coding errors (e.g., are there more female respondents than in your target population because males and females were coded incorrectly?)

Comparing Respondents to the Target Population

Agencies should examine characteristics of their survey respondents to assess how well they match the target population. Agencies should compare the percentage distribution of respondents for each required demographic (i.e., supervisory status, gender, ethnicity, race, and subcomponent, if sampled) to the percentage distribution of the target population for these required demographics.

If there are notable differences in percentage distributions between respondents and target population for any demographic (i.e., indicating nonresponse did not occur at random), you will want to continue your data collection to achieve adequate responses from all groups and subcomponents in your target population. Consider additional reminders to your sample to encourage participation. If the differences are discovered after the survey administration has ended, these differences should be noted when reporting the results.

ANNUAL REPORTING

Reporting Results

Agencies are required to collect data on the survey items by December 31 of each calendar year. An agency is also required to make the results available to the public and post the results on its Website no later than 120 days after the agency completes survey administration, unless the agency head determines that doing so would jeopardize or negatively impact national security. If an agency samples at the subcomponent level, they only need to report the overall agency results to OPM and on their Website. However, an agency will need to report information on the number of people surveyed in the various subcomponents to demonstrate representativeness, as noted below. If an agency believes posting results on the Web would have jeopardized or negatively impacted national security, they must notify OPM in writing, and the agency still must submit results to OPM.

To coordinate and encourage the timely availability of agency survey results, the regulation requires agencies to 1) send results to OPM, and 2) post their survey results on their agency Websites, with access for the public, no later than 120 days after an agency completes survey administration each year. OPM may extend this date under unusual circumstances. These results should be based on surveys conducted during that calendar year. The reports must contain--

(1) A brief evaluation of the survey results (narrative);
(2) How the survey was conducted (online or paper, dates of administration, census or sample, etc.);
(3) A description of the employee sample, if sampling was used (i.e., number in the sample, percentage distributions on required demographics);
(4) The survey items and response choices with the items prescribed in regulation identified;
(5) The number of employees surveyed and number of survey respondents (including response rate); the agency should comment on whether the respondents were representative of the target population, noting deviations in percentage distributions by demographic, as warranted; and
(6) The number of respondents and the results, calculated as percentages, for each response scale choice (including the Do Not Know and No Basis to Judge response options) on each survey question.

Confirming the Data Reported to OPM

When submitting results to OPM, please use this checklist to ensure:

- All reporting requirements listed above are met
- The results include at least 400 cases representative of the agency
- Data have been coded so response choices "5" and "4" indicate more favorable responses and a "6" indicates a "Do Not Know" or "No Basis to Judge" response, where applicable; results should be coded as follows:

  1 – Strongly Disagree/Very Dissatisfied/Very Poor
  2 – Disagree/Dissatisfied/Poor
  3 – Neither Agree Nor Disagree/Neither Satisfied Nor Dissatisfied/Fair
  4 – Agree/Satisfied/Good
  5 – Strongly Agree/Very Satisfied/Very Good
  6 – Do Not Know/No Basis to Judge

  For the demographic items, use the following coding scheme:

  What is your supervisory status?
  1 – Non-Supervisor
  2 – Team Leader
  3 – Supervisor
  4 – Manager
  5 – Executive

  Gender:
  1 – Male
  2 – Female

  Are you Hispanic or Latino?
  1 – Yes
  2 – No

  Race (for reporting purposes only, indicate "two or more races" for individuals who select more than one race):
  1 – White
  2 – Black or African American
  3 – Native Hawaiian or Other Pacific Islander
  4 – Asian
  5 – American Indian or Alaska Native
  6 – Two or more races

- The results include a frequency distribution and percentage calculations report for the required items
- Results are for items listed in the regulation. (Your agency Website may include results for all items on your survey, but the report you submit to OPM should only include results for the items prescribed in regulation.)

NEXT STEPS--USING YOUR AGENCY RESULTS

The AES is a tool. It provides information that allows organizations to focus their efforts and to improve various programs and processes. After the survey results have been reviewed, agencies have a responsibility to provide feedback to their employees on the results, as well as to let employees know the intended actions to address the results and progress on these actions. This could include information on decisions not to take action on various areas of concern, and reasons why not. Posting the results on the agency Website is one way of providing feedback to employees, but an agency should consider multiple methods of communication.

Provide Feedback and Begin Action Planning

Once the results are analyzed and posted on the Website, feedback is critical. Agencies may want to:

- Have the head of your agency share the results with top executives and union officials in the organization.

- Share your agency results with employees via intranet, email, and/or printed version. The head of your agency or other senior leadership may want to discuss the results in “all hands” meetings.

- Consult with union representation and/or employees to decide what areas to target for improvement. Action plans should be developed at multiple levels: agencywide, by subcomponent, and even several levels down in the agency. Some agencies have pushed action planning down to the manager level. Remember, some changes in working conditions may require bargaining with union representatives. Consult with your labor relations staff to facilitate meetings with union officials and bargaining unit employees.

Many agencies have found it beneficial to conduct focus groups after reviewing survey results. Focus groups allow you to delve more deeply into the “why’s” behind the numbers and to get employee suggestions for how to improve.

Develop and Implement Action Plans

Once action plans are developed, it is important to implement them. It is equally important to tell employees what actions are being implemented as a result of their responses on the survey. If certain actions will not or cannot be implemented, it is important to *communicate* that information, as well. Also, remember to thank employees for participating in the survey.

When developing action plans, consider the following:

- What resources are required; what shifts are required in budget or resource allocation, and who must approve them?
- Who will be responsible for action?
- Who will be responsible for oversight?
- Will the people involved have the authority to make things happen?
- If actions require coordination, how will that be accomplished?
- Do your plans include ways to detect and recover from changes or delays?

Changes are likely to require time and sustained effort. Plans should include regular feedback to management and employees on progress and scheduled consideration, at appropriate levels in the agency, for adjustment.

Follow Up

This is the most important part of the process for effectively using survey results. Often this stage is where the process breaks down. Followup ensures problems identified are dealt with effectively. If problems are not dealt with, then adjustments should be made.

Followup includes evaluation. Evaluate how the action is going. This can include readministering the survey, or administering a broader survey, such as the FHCS, to track change or more fully explore issues of interest.

In addition to monitoring planned activities, establish and maintain sensitivity to employee needs.

- Consider formal and informal feedback.
- Consider *ad hoc* as well as standing committees.
- Consider focus groups at different levels to get unbiased feedback.
- Keep employee representatives involved.

Action officers and committees should provide regular feedback to top management.

ADDITIONAL REFERENCES

Proposed Standards and Guidelines for Statistical Surveys, 14 July 2005
http://www.whitehouse.gov/omb/inforeg/proposed_standards_for_statistical_surveys.pdf

Questions and Answers when Designing Surveys for Information Collections.
http://www.whitehouse.gov/omb/inforeg/pmc_survey_guidance_2006.pdf

Developing and Using Questionnaires, October 1993, GAO/PEMD-10.1.7.

Mail and Internet Surveys: The Tailored Design Method, Don A. Dillman, 2000.

APPENDIX A

Writing Good Survey Questions

APPENDIX A

Writing Good Survey Questions*

If an agency chooses to add items to the group of required items some suggestions for writing good survey questions are provided below. The items in the regulation are required to be asked by each agency as stated in the regulation (i.e., no word replacements, no revisions). However, agencies can also add items dealing with their own programs and initiatives.

1) Consider various response scales and choose the most appropriate one. Here are a few possibilities:

   - Strongly Disagree to Strongly Agree
   - Very Unfavorable to Very Favorable
   - Poor to Excellent
   - Very Dissatisfied to Very Satisfied
   - No Extent to A Very Great Extent

   When selecting a scale, use equal numbers of positive and negative categories (e.g., two positive and two negative with one neutral). In addition, distinguish undecided and neutral, and, if offering it, place the “undecided” or “no opinion” at the end of the scale.

2) Consider question structure when developing the item. Open-ended items are more difficult to analyze and may not yield adequate answers. Close-ended items, where responses are provided, are easier to answer.

3) Simplify the sentence and word structure. Aside from shortening the sentence length, the most effective way to increase readability is to simplify the word structure. Simple words are preferable, provided they express the idea clearly.

4) Reduce the complexity of ideas and present them one at a time.

5) Do not use abstract words, or words that convey general or broad meanings or relationships. Make questions concise, direct and keep the number of words to a minimum.

6) Keep the use of technical language to a minimum. Keep in mind words you know may not be familiar to your audience. Words used should express the exact meaning that is intended, and the respondents must know that meaning.

7) Use the active voice when writing questions, unless it is unavoidable.

8) Be careful about words with several meanings and other problem words. Sometimes a question is misunderstood because a word in it has several meanings and its context is not clear.

9) Avoid abbreviations or jargon.

10) Do not lead the respondents with slanted introductions.

11) Avoid "double-barreled" questions. When more than one idea or topic is presented in an item, the respondent has difficulty providing an answer or selecting a response. Analysis of responses will be meaningless because there will be no way of knowing to which idea the subjects really responded.

An example of a double-barreled item is, "Are you able to discuss work problems with your supervisor in private and in confidence?" This example is actually asking two questions -- can you discuss work problems with your supervisor in private, and can you discuss them with her/him in confidence.

Tip: If the words "and" or "or" are in the item, review to make sure you are presenting only one idea.

* Adapted from the following sources:
(1) Developing and Using Questionnaires, October 1993, GAO/PEMD-10.1.7, and
(2) Mail and Internet Surveys: The Tailored Design Method, Don A. Dillman, 2000.

APPENDIX B

Frequently Asked Questions

Appendix B

Frequently Asked Questions

WHO?: By law, each executive agency, as defined by 5 U.S.C. 105, must conduct an annual survey of its employees containing each question prescribed by the Office of Personnel Management (OPM) in regulation. All executive branch agencies and employees are covered by the Annual Employee Survey (AES) requirement. Each agency needs to decide what their target population will be. At a minimum, an agency needs to sample full-time, permanent employees in all major subcomponents.

WHY?: Section 1128 of the National Defense Authorization Act for Fiscal Year 2004 (Public Law 108-136, 5 U.S.C. 7101 note) requires each Executive agency to conduct an annual survey of its employees "to assess --

1. leadership and management practices that contribute to agency performance; and
2. employee satisfaction with --
   A. leadership policies and practices;
   B. work environment;
   C. rewards and recognition for professional accomplishment and personal contributions to achieving organizational mission;
   D. opportunity for professional development and growth; and
   E. opportunity to contribute to achieving organizational mission."

WHAT?: As required by the National Defense Authorization Act for Fiscal Year 2004, OPM issued final regulations implementing mandatory employee surveys. The final regulations prescribe survey questions that must appear on each agency's employee survey. These items constitute the AES, which agencies must assess and report annually.

WHEN?: All agencies must survey their employees, annually, within the calendar year (January 1 through December 31). In years when OPM conducts the Federal Human Capital Survey (FHCS), which will always contain the survey questions prescribed in 5 CFR part 250, subpart C, it is anticipated agencies will choose to use the FHCS, to the extent possible, to comply with the requirement to administer a survey for that calendar year. Agencies that do not participate in the FHCS still are required to conduct and report on the AES.

WHERE?: OPM requires agencies to 1) send results to OPM, and 2) post their survey results on their agency Websites, with access for the public, no later than 120 days after an agency completes survey administration each year. Posting the results on an intranet is not sufficient to meet the requirements of this law. Agencies should leave the results on their Website until new results are available and posted.

Q: My agency and others have been conducting employee surveys for the past several years, and we are concerned this new requirement may have a negative impact on the progress agencies have made in their own surveys. Is it possible for agencies to merge annual survey items into their existing surveys to create less confusion for employees?

A: Yes; however, OPM recommends agencies present the items in the order they are listed in the regulation to minimize the potential effects that order and context may have on survey results and to ensure that results are comparable across agencies. Agencies wishing to incorporate additional items of their own should include those after the required items. However, if an agency chooses to alter the order of required items or embed their own items within the required items, the agency must report this to OPM and provide a copy of their instrument highlighting the differences. Results must be reported as presented in the regulation.

Q: Agencies with fewer than 800 employees are not required to ask demographic items. Can the smaller agencies ask the demographic items if they want to do so?

A: Yes. Small agencies may include these items. Demographic items are not required for the smaller agencies because participants sometimes feel their survey is not confidential when they answer these items. To ease discomfort on the part of employees, OPM does not require these items for smaller agencies (i.e., agencies with fewer than 800 employees).

Q: The FHCS results are reported as weighted and unweighted. Do we have to weight the results?

A: No. Weighting is not required, but agencies can weight their results if they think it is appropriate for their situation and intended use. Note the FHCS Website provides both weighted and unweighted results. Be sure to make the appropriate comparisons between your AES results and the FHCS weighted and unweighted results.

Q: To reduce costs, can small agencies “purchase” the annual survey together and share the cost – assuming they will have no agency-specific items?

A: In 2007, OPM is offering agencies the option to share the cost to minimize the impact on any one agency. For a small reimbursable fee, OPM will administer the required items and provide the results for the overall agency (i.e., no subcomponent or other demographic breakouts).

Q: Will OPM post results on its Website for all of the agencies?

A: No. Agencies are responsible for posting their own results on their own Websites, making them available to the public. OPM will post its own results on its own Website.

Q: How long must survey results be posted on an agency's Website?

A: Results shall remain on the agency's Website until the next year's results are available and posted.